



#4

Statement Claiming Small Entity Status
(37 C.F.R. §§ 1.9(d) and 1.27(c)) – Small Business Concern

Applicant, Patentee or Identifier: Blair et al.

Appl. or Patent No.: 09/848,437

Attorney Docket No. 1531.015000H (as

amended)

Filed or Issued: May 4, 2001

Title: System, Method and Computer Program Product for Knowledge Management

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I hereby state that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Aurigin Systems, Inc.

ADDRESS OF SMALL BUSINESS CONCERN 10710 North Tantau Avenue, Cupertino, CA 95014-0717

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 C.F.R. Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate statements indicating their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

Each person, concern or organization having any rights in the invention (other than the small business concern named above) is listed below:

- ☐ no such person, concern, or organization exists.
☐ each person, concern, or organization is listed below.

NAME _____

ADDRESS _____

() INDIVIDUAL

() SMALL BUSINESS CONCERN

() NONPROFIT ORGANIZATION

Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. § 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

NAME OF PERSON SIGNING IRVING S. RAPPAPORT

TITLE OF PERSON IF OTHER THAN OWNER VICE PRESIDENT INTELLECTUAL PROPERTY

ADDRESS OF PERSON SIGNING 10710 N. TANTAU AVE., CUPERTINO, CA 95014


SIGNATURE [Signature] DATE 8/30/01

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POWER OF ATTORNEY FROM ASSIGNEE

 8/27/01 Aurigin Systems, Inc., a corporation of California, having a principal place of business at 10710 North Tantau Avenue, Cupertino, CA 95014-0717, is assignee of the entire right, title and interest for the United States of America (as defined in 35 U.S.C. § 100) by reason of an Assignment to the Assignee executed on (1) 8/27/01; (2) 8/27/01; (3) 8/27/01; (4) 8/27/01; (5) 8/29/01; and (6) 8/28/08 of an invention known as **System, Method and Computer Program Product for Knowledge Management** (Attorney Docket No. 1531.015000H (*as amended*)), which is disclosed and claimed in a patent application of the same title by the inventor(s) (1) Tim W. Blair; (2) Andrew S. DeWolfe; (3) Paul B. Germeraad; (4) Irving S. Rappaport; (5) Kevin G. Rivette; and (6) Brent Rosenquist, (said application filed on May 4, 2001 at the U.S. Patent and Trademark Office, having Application Number 09/848,437). my 9/10/01

The Assignee hereby appoint the U.S. attorneys associated with **CUSTOMER NUMBER 28393** to prosecute this application and any continuation, divisional, continuation-in-part, or reissue application thereof, and to transact all business in the U.S. Patent and Trademark Office connected therewith, such attorneys currently being: Robert Greene Sterne, Esq., Reg. No. 28,912; Edward J. Kessler, Esq., Reg. No. 25,688; Jorge A. Goldstein, Esq., Reg. No. 29,021; David K.S. Cornwell, Esq., Reg. No. 31,944; Robert W. Esmond, Esq., Reg. No. 32,893; Tracy-Gene G. Durkin, Esq., Reg. No. 32,831; Michele A. Cimbala, Esq., Reg. No. 33,851; Michael B. Ray, Esq., Reg. No. 33,997; Robert E. Sokohl, Esq., Reg. No. 36,013; Eric K. Steffe, Esq., Reg. No. 36,688; Michael Q. Lee, Esq., Reg. No. 35,239; Steven R. Ludwig, Esq., Reg. No. 36,203; John M. Covert, Esq., Reg. No. 38,759; and Linda E. Alcorn, Esq., Reg. No. 39,588. The Assignee hereby grants said attorneys the power to insert on this Power of Attorney any further identification that may be necessary or desirable in order to comply with the rules of the U.S. Patent and Trademark Office.

Send correspondence to:

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.
1100 New York Avenue, N.W.
Suite 600
Washington, D.C. 20005-3934
U.S.A.

Direct phone calls to 202-371-2600.

FOR: AURIGIN SYSTEMS, INC.
SIGNATURE: IS Rappaport
BY: IRVING S. RAPPAPOORT
TITLE: VICE PRESIDENT INTELLECTUAL PROPERTY
DATE: 8/30/01

Certificate Under 37 C.F.R. § 3.73(b)

Applicant/Patent Owner: Blair et al.

Application No./Patent No.: 09/848,437 Filed/Issue Date: May 4, 2001

entitled: **System, Method and Computer Program Product for Knowledge Management**

Aurigin Systems, Inc.
(Name of Assignee)

a corporation,
(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Date: 8/30/01

Name: IRVING S. RAPAPORT

Title: VICE PRESIDENT INTELLECTUAL PROPERTY

Signature: IS Rapoport



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ASSIGNMENT

**DO NOT FORWARD
TO ASSIGNMENT BRANCH
NOT FOR RECORDATION**

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned inventor(s): (1) Tim W. Blair; (2) Andrew S. DeWolfe; (3) Paul B. Germeraad; (4) Irving S. Rappaport; (5) Kevin G. Rivette; and (6) Brent Rosenquist, the undersigned inventor(s) hereby sell(s) and assign(s) to Aurigin Systems, Inc. (the Assignee) his/her entire right, title and interest, including the right to sue for past infringement and to collect for all past, present and future damages:

check applicable box(es) ☒ for the United States of America (as defined in 35 U.S.C. § 100),
☒ and throughout the world,

(a) in the invention(s) known as **System, Method and Computer Program Product for Knowledge Management** for which application(s) for patent in the United States of America has (have) been executed by the undersigned on (1) 8/27/01; (2) 8/27/01; (3) 8/27/01; (4) 8/27/01; (5) 8-29-01; and (6) 8-28-01 (also known as United States Application No. 09/848,437, filed May 4, 2001), in any and all applications thereon, in any and all Letters Patent(s) therefor, and

(b) in any and all applications that claim the benefit of the patent application listed above in part (a), including continuing applications, reissues, extensions, renewals and reexaminations of the patent application or Letters Patent therefor listed above in part (a), to the full extent of the term or terms for which Letters Patents issue, and

(c) in any and all inventions described in the patent application listed above in part (a), and in any and all forms of intellectual and industrial property protection derivable from such patent application, and that are derivable from any and all continuing applications, reissues, extensions, renewals and reexaminations of such patent application, including, without limitation, patents, applications, utility models, inventor's certificates, and designs together with the right to file applications therefor; and including the right to claim the same priority rights from any previously filed applications under the International Agreement for the Protection of Industrial Property, or any other international agreement, or the domestic laws of the country in which any such application is filed, as may be applicable;

all such rights, title and interest to be held and enjoyed by the above-named Assignee, its successors, legal representatives and assigns to the same extent as all such rights, title and interest would have been held and enjoyed by the Assignor had this assignment and sale not been made.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with the application(s) and any continuing (continuation, divisional, or continuation-in-part), reissue, reexamination or corresponding application(s) thereof and also to execute separate assignments in connection with such application(s) as the Assignee may deem necessary or expedient.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with any interference or patent enforcement action (judicial or otherwise) related to the application(s) or any continuing (continuation, divisional, or continuation-in-part), reissue or reexamination application(s) thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference or patent enforcement action.

The undersigned inventor(s) hereby represent(s) that he/she has full right to convey the entire interest herein assigned, and that he/she has not executed, and will not execute, any agreement in conflict therewith.

The undersigned inventor(s) hereby grant(s) Robert Greene Sterne, Esquire, Registration No. 28,912; Edward J. Kessler, Esquire, Registration No. 25,688; Jorge A. Goldstein, Esquire, Registration No. 29,021; David K.S. Cornwell, Esquire, Registration No. 31,944; Robert W. Esmond, Esquire, Registration No. 32,893; Tracy-Gene G. Durkin, Esquire, Registration No. 32,831; Michele A. Cimbala, Esquire, Registration No. 33,851; Michael B. Ray, Esquire, Registration No. 33,997; Robert E. Sokohl, Esquire, Registration No. 36,013; Eric K. Steffe, Esquire,

Registration No. 36,688; Michael Q. Lee, Esquire, Registration No. 35,239; Steven R. Ludwig, Esquire, Registration No. 36,203; John M. Covert, Esquire, Registration No. 38,759; and Linda E. Alcorn, Esquire, Registration No. 39,588; all of STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C., 1100 New York Avenue, N.W., Suite 600, Washington, D.C. 20005-3934, power to insert in this assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN WITNESS WHEREOF, executed by the undersigned inventor(s) on the date opposite his/her name.

Date: 8-27-01 Signature of Inventor: Tim W Blair
Tim W. Blair

Date: 8/27/2001 Signature of Inventor: Andrew S. DeWolfe
Andrew S. DeWolfe

Date: 8/27/2001 Signature of Inventor: Paul B. Germeraad
Paul B. Germeraad

Date: 8/27/01 Signature of Inventor: Irving S. Rappaport
Irving S. Rappaport

Date: 8/29/01 Signature of Inventor: Kevin G. Rivette
Kevin G. Rivette

Date: 8/28/01 Signature of Inventor: Brent Rosenquist
Brent Rosenquist

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